Frequently Asked Questions (FAQS) about the CAS system

MISC
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Where can I see Interest Earned and Interest Expense as it's accumulated?

SLK shows the current rate when you log in and on the MoneyLine report.
Othen go to the Customer Site to see interest – in the Portfolio Composite report.
1. Go to www.slk.com
2. Select "Customer Site" on the left above "Customer Access".
3. Select the date
4. Select the " Portfolio Composite" Report - it's in there.

Where can I see this Interest when it's posted to my account?
(which report and sub-account)

In Capital Acct. 5519 on last day of month report in the Capital Activity report. This is 5 business days sooner than FOC posted it.

Where can I see Dividends Receivable/Payable as they are accumulated?

On Customer Site – in the mark to market report.
1. Go to www.slk.com
2. Select "Customer Site" on the left above "Customer Access".
3. Select the date
4. Select the "Mark to Market" Report

Where can I see these dividends when they are posted to my account?
(which report and sub-account)

On the Trade Activity Report. It will be in the 1209 sub-account. This will also be part of the P&L figure for that particular stock on the P&L report.

What day of the month will this be posted to my account?

On the Dividend "payment" date, by stock.

Where does one see gross P&L and total commissions?

The P&L with SLK is net which gives you a more accurate view of how you are doing with a particular stock. However, if you need to calculate the gross P&L for the day, do this:
1. Go to the P&L report for the day
2. Using the arrows next to the page number, go down to the bottom page
3. You will see the Net P&L for the day at the bottom of the Daily P&L column
4. Now go to the Trade Activity report for the day
5. Using the arrows next to the page number, go down to the bottom page
6. You will see the <u>total commissions</u> at the bottom of the Commissions column
7. You will see the total SEC fees at the bottom of the Reg. Fee column.
8. Add the Net P&L + SEC Fees + Reg. Fee and you will have your <u>gross P&L</u>

How can I see gross P&L without commissions?

Follow the steps above and Add the Net P&L + SEC Fees

How can I see the same figure that I see on my Redi at the end of the day?

Follow the steps above to get Gross P&L.

Where can I see my misc. expenses?

You will see the total for these on the MoneyLine report for the acct. code 5719. To see the details, look at the Capital Activity Report

Where can I see my volume rebates?

You will see the total for these on the MoneyLine report for the acct. code 5819. To see the details, look at the Capital Activity Report. Remember, these will be on the report for the 3rd business day of the month.

How can I see the trade activity for just one stock?

Type Symbol in symbol field.

How can I see the total number of shares I traded on a day?

Go to the P&L report, go to the bottom and look at the end of the Buy and Sell columns

Do we want customer SITE reports of customer ACCESS reports? They are a bit different.

You use the Customer Access Reports (New System) for everything except pending dividends. To see Pending Dividends, follow the steps above in the pending dividends question.

Where is the YTD net income located?

To get your YTD net income (inclusive of all P&L and additional charges):
1. Go to the MoneyLine report
2. Take the Accumulated P&L at the bottom of the sub-account list
3. Add the Equity Amounts for the 5519, 5719, and 5819 sub-accounts
4. Be sure to add in the P&L from your last FOC haircut report for 3/27/02.

How do I see YTD commission?

To get your YTD commission:
1. Go to the Trade Activity report
2. Set the date range from January 1st to the current date and click search.
3. Go to the bottom of the report.
4. Look in the Commission column to see your YTD commissions charged by SLK.
5. Go to the MoneyLine report.
6. Take the Equity Amount for the 5819 sub-account (these are your volume rebates) and subtract that from the total commission from step 4.
7. Be sure to add in the YTD commission from your last FOC haircut report for 3/27/02.

When you do need to print something what works best? I can't seem to get it on one page.

For any report:
1. Click on the Tools icon
2. Select Download to PDF
3. The report will appear in Adobe Reader
4. Click on the print icon to print the report.

Is there an account number that shows both conversions and stock positions so it is easier for risk management?

The equities for all conversions should be in the 1409. ONLY conversion stock should be in this account. The corresponding options should be in the 0409 account. If you have non-conversion options, they will also be in the 0409 account.

How many days back does SLK save reports?

18 Months.

What goes in which sub account?

0409: Options and their P&L go in here (usually options relating to conversions)
1209: Trading equities and P&L go in here.
1409: Conversion equities and P&L go in here.
5619: Capital Account. All funds that you put in or take out will occur here as Equity. Initially, the accumulated Cash and P&L figures from FOC were put in here as Equity, but no P&L will go in here going forward.
5719: Miscellaneous Expenses such as rent and haircut charges go in here as Equity.
5819: Volume Rebates go in here as Equity.

Is there anyway the P&L can be sent auto via email like with FOC?

No.

Where can I see bullet costs?

In Trade Activity you can see your bullet costs. All bullet costs are associated with transactions where the Contra Broker is 613 (this is Radez). Follow these steps:

1. *For the investments filter, select Equities and click on the search button.*
2. *Now double click on the Contra Broker header to sort by Contra Broker.*
3. *Now you need to do the following for all transactions where the Contra Broker is 613:*
   - *A. Total all the numbers in the Net Amount column for these transactions. This is your "fee" for the bullets. (2 cents/share + the reg fee)*
   - *B. Total all the numbers in the Commission column for these transactions. This is your "commission" for the bullets. You should see .25 cents/share for the stock coming in and .25 cents/share for the stock coming out. (.5 cents/share)*
   - *C. Total all the numbers in the Reg. Fee column. The trader pays the reg fee for the sale portion of the bullet in his/her account. You'll also notice in "B." above that Radez passes on the Reg. Fee for their sale portion as well.*
   - *D. Add these numbers together and you will have your total bullets cost.*

How can I see how many shares I've traded so far this month?

IF YOU HAVE BOUGHT A BULLET DURING THE MONTH, DO THIS:

1. *Go to the trade activity report and make sure Account Type is "All Accounts"*
2. *Set the date to be from the first of the month to the current date*
3. *Set investments to Equity*
4. *Set activity to Buy*
5. *Click Search*
6. *Click on the down arrow to go to the bottom of the page*
7. *In the Buy/Sell column will be your "Gross Shares Traded Long"*
8. *Set investments to Options*
9. *Click Search*
10. *Click on the down arrow to go to the bottom of the page*
11. *In the Buy/Sell column will be a number. Multiply it by 100 and subtract it from the "Gross Shares Traded Long" above. This gives you your "Net Shares Traded Long".*
12. *Set investments to Equity*
13. *Set activity to Sell*
14. *Click Search*
15. *Click on the down arrow to go to the bottom of the page*
16. *In the Buy/Sell column will be your "Net Shares Traded Short"*
17. *Add the "Net Shares Traded Long". and the "Net Shares Traded Short" together and you have your total for the month.*

IF YOU <u>HAVE NOT</u> BOUGHT A BULLET THIS MONTH,
YOU CAN DO IT THE SHORTER WAY:

1. Go to the trade activity report and make sure Account Type is "All Accounts"
2. Set the date to be from the first of the month to the current date
3. Set investments to Equity
4. Set activity to Buy
5. Click Search
6. Click on the down arrow to go to the bottom of the page
7. In the Buy/Sell column will be your "Shares Traded Long"
8. Set activity to Sell
9. Click Search
10. Click on the down arrow to go to the bottom of the page
11. In the Buy/Sell column will be your "Shares Traded Short"
12. Add the "Shares Traded Long". and the "Shares Traded Short" together and you have your total for the month.

Keep in mind the following:
1. If you did orders over 2500, and got a total of over 2500 shares executed in those orders, then the amount over 2500 will not be included in your total volume and needs to be subtracted out.
2. If for some reason you are trading options on their own, this will not work.

What time will today's activity be available?
Normally by Midnight Eastern time.

Why does the beginning equity balance plus the accumulated P&L not equal the current equity?
Misc. expense, rebates, and interest charges are in 5719, 5819, and 5519. Capital Activity must be considered when calculating current equity.

How come I log in and see the day before yesterday's info instead of yesterdays?
The system is supposed to default to the last trade date when you log in, but sometimes that does not happen. Look at the date field on any report to make sure it is set for the proper trade date.

How far back can we go?
18 Months

Is there a user's manual?
Yes, but it is very topical without much detail. It has been distributed to the office managers.

On my statement for yesterday in the "Moneyline" section, there is $100.00 added to my equity. Where/how do I find why this was added and what it was?
Look to see which acct had the addition, then go to the appropriate report: Capital Activity for 5600 accounts or Trade Activity for other accounts.

What is the "Save This" icon on all the reports?
Used to save the desired layout currently on screen. You can modify the fields that show on the report by using the "Customize" option under the Tools. When you do this, you can use the "Save This" icon to save these fields for the next time you login to the CAS system. Otherwise, it'll revert to the default.

What are those 4 arrows on all the reports?

<- = Prev: goes to the previous page in the report
-> = Next: goes to the next page in the report
^ = Top: goes to the first page in the report
V = Bottom: goes to the last page in the report

What is that Tools hammer on all the reports?

It has three functions:
1. Download to Excel: Allows you to save what you see on the screen into an Excel spreadsheet for further data manipulation.
2. Download to PDF: Allows you to generate a PDF file for neat, formatted printing.
3. Customize: Allows you to select the fields you wish to display in the report and the order in which those fields are sorted.

MONEYLINE QUESTIONS
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How can I see just the stocks I'm long (so I can get a total of the number of shares and value I have long)?

You have to go to the P&L report. There you can use the L/S/Active Even filter to select "Long". Then you can find the total at the bottom of the report in the Quantity column.

I missed a report. Can I see what my positions were 3 days ago?

Yes. You can run positions for a single day or multiple days. Just use the date selection field to choose the date range you want to see.

PROFIT & LOSS REPORT QUESTIONS

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We don't. We encourage traders to look at their reports on the CAS system to save trees.

How can we see the total account equity per trader?

Use the MoneyLine Totals Excel spreadsheet.

How can we see the total YTD and Daily P&L per trader?

Use the MoneyLine Totals Excel spreadsheet.

Where can we find the Short sale interest rate & margin Rate?

Short stock rate does not appear because the rate can vary depending on the security and its availability. The traders will see the final credit in the 5519 at the end of the month. The credit interest rate is on the Money Line page.

If a manager with a bunch of traders just wants to scan each traders MAIN account for the total equity, long, short, day P&L, and YTD P&L, what is the best way to see that with out pulling up each account individually?

Use the MoneyLine Totals Excel spreadsheet.

What is the email address or phone number to get people authorized for Customer Access??

Everyone is authorized for customer access by using their user ID and Password. If a trader has a problem, their manager should call Vegas.